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DATE MAILED: 11/12/2008

## NOTICE OF ALLOWANCE AND FEE(S) DUE

20350 7590 11/12/2008 TOWNSEND AND TOWNSEND AND CREW, LLP TWO EMBARCADERO CENTER FIGHTH FLOOR

SAN FRANCISCO, CA 94111-3834

EXAMINER

ARAJ, MICHAEL J

ART UNIT PAPER NUMBER

3775

 APPELCATION NO.
 FILING DATE
 FIRST NAMED INVENTOR
 ATTORNEY DOCKSET NO.
 CONFREMATION NO.

 10/696,727
 10/28/2003
 Rush E. Simonson
 025929-000200US
 6338

TITLE OF INVENTION: VERTEBRAL IMPLANTS ADAPTED FOR POSTERIOR INSERTION

 APPLN.TYPE
 SMALL ENTITY
 ISSUE FEE DUE
 PUBLICATION FEE DUE
 PREV. PAID ISSUE FEE
 TOTAL FEE(s) DUE
 DATE DUE

 nonprovisional
 YES
 \$755
 \$300
 \$0
 \$1055
 02/12/2009

THE APPLICATION IDENTIFIED ABOVE HAS BEEN EXAMINED AND IS ALLOWED FOR ISSUANCE AS A PATENT. PROSECUTION ON THE MERITS IS CLOSED. THIS NOTICE OF ALLOWANCE IS NOT A GRANT OF PATENT RIGHTS. THIS APPLICATION IS SUBJECT TO WITHDRAWAL FROM ISSUE AT THE INITIATIVE OF THE OFFICE OR UPON PETITION BY THE APPLICANT. SEE 37 CFR 1.313 AND MPEP 1308.

THE ISSUE FEE AND PUBLICATION FEE (IF REQUIRED) MUST BE PAID WITHIN THREE MONTHS FROM THE MAILING DATE OF THIS NOTICE OR THIS APPLICATION SHALL BE REGARDED AS ABANDONED. THIS STATUTORY PERIOD CANNOT BE EXTENDED. SEE 35 U.S.C. 151. THE ISSUE FEE DUE INDICATED ABOVE DOES NOT REFLECT A CREDIT FOR ANY PREVIOUSLY PAID ISSUE FEE IN THIS APPLICATION. IF AN ISSUE FEE HAS PREVIOUSLY BEEN PAID IN THIS APPLICATION (AS SHOWN ABOVE), THE RETURN OF PART B OF THIS FORM WILL BE CONSIDERED A REQUEST TO REAPPLY THE PREVIOUSLY PAID ISSUE FEE TOWARD THE ISSUE FEE NOW DUE.

#### HOW TO REPLY TO THIS NOTICE:

I. Review the SMALL ENTITY status shown above.

If the SMALL ENTITY is shown as YES, verify your current SMALL ENTITY status:

A. If the status is the same, pay the TOTAL FEE(S) DUE shown above

B. If the status above is to be removed, check box 5b on Part B - Fee(s) Transmittal and pay the PUBLICATION FEE (if required) and twice the amount of the ISSUE FEE shown above, or

If the SMALL ENTITY is shown as NO:

A. Pay TOTAL FEE(S) DUE shown above, or

B. If applicant claimed SMALL ENTITY status before, or is now claiming SMALL ENTITY status, check box 5a on Part B - Fee(s) Transmittal and pay the PUBLICATION FEE (if required) and I/2 the ISSUE FEE shown above.

II. PART B - FEE(S) TRANSMITTAL, or its equivalent, must be completed and returned to the United States Patent and Trademark Office (USPTO) with your ISSUE FEE and PUBLICATION FEE (if required). If you are charging the fee(s) to your deposit account, section "4b" of Part B - Fee(s) Transmittal should be completed and an extra copy of the form should be submitted. If an equivalent of Part B is filed, a request to reapply a previously paid issue fee must be clearly made, and delays in processing may occur due to the difficulty in recognizing the paper as an equivalent of Part B.

III. All communications regarding this application must give the application number. Please direct all communications prior to issuance to Mail Stop ISSUE FEE unless advised to the contrary.

IMPORTANT REMINDER: Utility patents issuing on applications filed on or after Dec. 12, 1980 may require payment of maintenance fees. It is patentee's responsibility to ensure timely payment of maintenance fees when due.

#### PART B - FEE(S) TRANSMITTAL

# Complete and send this form, together with applicable fee(s), to: Mail Commissioner for Patents P.O. Box 1450 Alexandria, Virginia 22313-1450

or Fax (571)-273-2885

appropriate. All further indicated unless corrects maintenance fee notifica	correspondence includired below or directed oth	ng the Patent, advance on herwise in Block 1, by (a	rders and notification of r a) specifying a new corres	naintenance fees wi spondence address;	Il be mailed to the current and/or (b) indicating a sep	t correspondence address a varate "FEE ADDRESS" fo	
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SAN FRANCIS	CO, CA 94111-383	4				(Depositor's name)	
						(Signature)	
						(Date)	
APPLICATION NO.	FILING DATE		FIRST NAMED INVENTOR		ATTORNEY DOCKET NO.	CONFIRMATION NO.	
10/696,727	10/28/2003	•	Rush E. Simonson	on 025929-00020		6338	
TITLE OF INVENTION	: VERTEBRAL IMPLA	NTS ADAPTED FOR PO	OSTERIOR INSERTION				
APPLN, TYPE	SMALL ENTITY	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE	FEE TOTAL FEE(S) DUE	E DATE DUE	
nonprovisional	YES	\$755	\$300	\$0	\$1055	02/12/2009	
EXAM	INER	ART UNIT	CLASS-SUBCLASS	]			
ARAJ, MI		3775	623-017130	•			
Change of corresponder     CFR 1.363).	ence address or indicatio	n of "Fee Address" (37	2. For printing on the p				
			(I) the names of up to or agents OR, alternativ	3 registered patent rely,	attorneys 1		
Change of correspondence address (or Change of Correspondence Address form PTO/SB/122) attached.			(2) the name of a single firm (having as a member a registered attorney or agent) and the names of up to				
"Fee Address" indication (or "Fee Address" Indication form PTO/SB/47; Rev 03-02 or more recent) attached. Use of a Custome Number is required.			2 registered patent attorneys or agents. If no name is listed, no name will be printed.				
3. ASSIGNEE NAME A	ND RESIDENCE DATA	TO BE PRINTED ON	THE PATENT (print or type	ne)			
					e is identified below, the	document has been filed for	
(A) NAME OF ASSI		netion of this form is NO	(B) RESIDENCE: (CITY				
(1)111111111111111111111111111111111111	0.122		(D) ILLOIDE. (CIT I	and STITE OR CO	,,		
Please check the appropr	iate assignee category or	categories (will not be pr	rinted on the patent):	Individual 🚨 Cor	poration or other private gr	oup entity 🚨 Government	
4a. The following fee(s)	are submitted:	41	b. Payment of Fee(s): (Plea	se first reapply any	previously paid issue fee	shown above)	
Issue Fee			A check is enclosed.				
Publication Fee (No small entity discount permitted)  Advance Order - # of Copies			☐ The Director is hereby authorized to charge the required fee(s), any deficiency, or credit any overpayment, to Deposit Account Number (enclose an extra copy of this form).				
			overpayment, to Depo	sit Account Number	(enclose	an extra copy of this form).	
5. Change in Entity Sta	tus (from status indicate s SMALL ENTITY statu		☐ b. Apolicant is no lon	aer claiming SMAII	L ENTITY status. See 37 C	PER 1 27(a)(2)	
						he assignee or other party in	
interest as shown by the	records of the United Sta	tes Patent and Trademark	Office.				
Authorized Signature			Date				
Typed or printed name			Registration No.				
This collection of inform an application. Confiden submitting the complete this form and/or suggests Box 1450, Alexandria, V Alexandria, Virginia 223	ation is required by 37 C tiality is governed by 35 d application form to the ions for reducing this bu- irginia 22313-1450. DC 13-1450.	FR 1.311. The informatic U.S.C. 122 and 37 CFR USPTO. Time will vary rden, should be sent to the ONOT SEND FEES OR	on is required to obtain or r 1.14. This collection is est r depending upon the indiv e Chief Information Office COMPLETED FORMS TO	etain a benefit by the imated to take 12 m idual case. Any con cr, U.S. Patent and T D THIS ADDRESS.	e public which is to file (an inutes to complete, includi nments on the amount of ti 'rademark Office, U.S. Dep SEND TO: Commissioner	d by the USPTO to process ng gathering, preparing, and time you require to complete partment of Commerce, P.O. for Patents, P.O. Box 1450	

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PTOL-85 (Rev. 08/07) Approved for use through 08/31/2010.



## UNITED STATES PATENT AND TRADEMARK OFFICE

#### UNITED STATES DEPARTMENT OF COMMERCE United States Patent and Trademark Office Address: COMMISSIONER FOR PATENTS

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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/696,727	10/28/2003	Rush E. Simonson	025929-000200US	6338
20350 7	590 11/12/2008		EXAMINER	
TOWNSEND A	ND TOWNSEND AT	ARAJ, MICHAEL J		
TWO EMBARCA			ART UNIT	PAPER NUMBER
EIGHTH FLOOR SAN FRANCISCO, CA 94111-3834			3775	
			DATE MAIL ED. 11/12/2000	

Determination of Patent Term Adjustment under 35 U.S.C. 154 (b)

(application filed on or after May 29, 2000)

The Patent Term Adjustment to date is 0 day(s). If the issue fee is paid on the date that is three months after the mailing date of this notice and the patent issues on the Tuesday before the date that is 28 weeks (six and a half months) after the mailing date of this notice, the Patent Term Adjustment will be 0 day(s).

If a Continued Prosecution Application (CPA) was filed in the above-identified application, the filing date that determines Patent Term Adjustment is the filing date of the most recent CPA.

Applicant will be able to obtain more detailed information by accessing the Patent Application Information Retrieval (PAIR) WEB site (http://pair.uspto.gov).

Any questions regarding the Patent Term Extension or Adjustment determination should be directed to the Office of Patent Legal Administration at (571)-272-7702. Questions relating to issue and publication fee payments should be directed to the Customer Service Center of the Office of Patent Publication at 1-(888)-786-0101 or (571)-272-4200.

# Application No. Applicant(s) 10/696.727 SIMONSON, RUSH E. Interview Summary Examiner Art Unit MICHAEL J. ARAJ 3775 All participants (applicant, applicant's representative, PTO personnel): (1) MICHAEL J. ARAJ. (3) RUSH SIMONSON. (2) GUY CHAMBERS. (4)CYNTHIA SIMONSON. Date of Interview: 28 October 2008. Type: a) ☐ Telephonic b) ☐ Video Conference c) Personal (copy given to: 1) applicant 2) applicant's representative Exhibit shown or demonstration conducted: d) Yes e)□ No. If Yes, brief description: Rush Simonson described the invention and explained the difficulties spinal arthroplasty. Claim(s) discussed: 21 and 23-34. Identification of prior art discussed: U.S. Patent No. 6,436,098; 5,989,291; 5,458,642. Agreement with respect to the claims f) was reached. a) was not reached. h) N/A. Substance of Interview including description of the general nature of what was agreed to if an agreement was reached, or any other comments: See Continuation Sheet. (A fuller description, if necessary, and a copy of the amendments which the examiner agreed would render the claims allowable, if available, must be attached. Also, where no copy of the amendments that would render the claims allowable is available, a summary thereof must be attached.) THE FORMAL WRITTEN REPLY TO THE LAST OFFICE ACTION MUST INCLUDE THE SUBSTANCE OF THE INTERVIEW. (See MPEP Section 713.04). If a reply to the last Office action has already been filed, APPLICANT IS GIVEN A NON-EXTENDABLE PERIOD OF THE LONGER OF ONE MONTH OR THIRTY DAYS FROM THIS INTERVIEW DATE, OR THE MAILING DATE OF THIS INTERVIEW SUMMARY FORM, WHICHEVER IS LATER, TO FILE A STATEMENT OF THE SUBSTANCE OF THE INTERVIEW. See Summary of Record of Interview requirements on reverse side or on attached sheet.

#### Summary of Record of Interview Requirements

Manual of Patent Examining Procedure (MPEP), Section 713.04, Substance of Interview Must be Made of Record
A complete written statement as to the substance of any factor-bace, video conference, or telephone interview with regard to an application must be made of record in the application where or not an apprenent with the examiner was reached at the interview.

# Title 37 Code of Federal Regulations (CFR) § 1.133 Interviews Paragraph (b)

In every instance where reconsideration is requested in view of an interview with an examiner, a complete written statement of the reasons presented at the interview as warranting favorable action must be filed by the applicant. An interview does not remove the necessity for reply to Office action as specified in §§ 1.111, 1.135, (35 U.S.C. 132)

#### 37 CFR §1.2 Business to be transacted in writing.

All business with the Patent or Trademark Office should be transacted in writing. The personal attendance of applicants or their attorneys or agents at the Patent and Trademark Office will be based exclusively on the written record in the Office. No attention will be paid to any alleged oral promise, stipulation, or understanding in relation to which there is disagreement or doubt.

The action of the Patent and Trademark Office cannot be based exclusively on the written record in the Office if that record is itself incomplete through the failure to record the substance of interviews.

It is the responsibility of the applicant of the attorney or agent to make the substance of an interview of record in the application file, unless the examiner indicates he or she will do so. It is the examiner's responsibility to see that such a record is made and to correct material inaccuracies which bear directly on the question of patentability.

Examiners must complete an Interview Summary Form for each interview held where a matter of substance has been discussed during the interview by checking the appropriate boxes and filling in the blanks. Discussions regarding only procedural matters, directed solely to restriction requirements for which interview recordation is otherwise provided for in Section 812.01 of the Manual of Patent Examining Procedure, or pointing out typographical errors or unreadable script in Office actions or the like, are excluded from the interview recordation procedures below. Where the substance of an interview is completely recorded in an Examiners Amendment, no separate Interview Summary Record is required.

The Interview Summary Form shall be given an appropriate Paper No., placed in the right hand portion of the file, and listed on the "Contents" section of the file wrapper. In a personal Interview, a duplicate of the Form is given to the applicant (or attorney or agent) at the conclusion of the interview. In the case of a telephone or video-conference interview, the copy is mailed to the applicant's correspondence address either with or prior to the next official communication. If additional correspondence from the examiner is not likely before an allowance or if other circumstances dictate. the Form should be mailed ormountly after the interview rather than with the next official communication.

The Form provides for recordation of the following information:

- Application Number (Series Code and Serial Number)
- Name of applicant
- Name of examiner
- Date of interview
- Type of interview (telephonic, video-conference, or personal)
- Name of participant(s) (applicant, attorney or agent, examiner, other PTO personnel, etc.)
- An indication whether or not an exhibit was shown or a demonstration conducted
- An identification of the specific prior art discussed
- An indication whether an agreement was reached and if so, a description of the general nature of the agreement (may be by attachment of a copy of amendments or claims agreed as being allowable). Note: Agreement as to allowability is tentative and does not restrict further action by the examiner to the contrary.
- The signature of the examiner who conducted the interview (if Form is not an attachment to a signed Office action)

It is desirable that the examiner orally remind the applicant of his or her obligation to record the substance of the interview of each case. It should be noted, however, that the interview Summay Form will not normally be considered a complete and proper recordation of the interview unless it includes, or is supplemented by the applicant or the examiner to include, all of the applicable items required below concerning the substance of the interview.

- A complete and proper recordation of the substance of any interview should include at least the following applicable items:
- 1) A brief description of the nature of any exhibit shown or any demonstration conducted,
- an identification of the claims discussed,
- 3) an identification of the specific prior art discussed,
- 4) an identification of the principal proposed amendments of a substantive nature discussed, unless these are already described on the

Interview Summary Form completed by the Examiner,

- 5) a brief identification of the general thrust of the principal arguments presented to the examiner,
  - (The identification of arguments need not be lengthy or elaborate. A verbatim or highly detailed description of the arguments is not required. The identification of the arguments is sufficient if the general nature or thrust of the principal arguments made to the examiner can be understood in the context of the applicant may desire to emphasize and fully
    - describe those arguments which he or she feels were or might be persuasive to the examiner.)
- 6) a general indication of any other pertinent matters discussed, and
- if appropriate, the general results or outcome of the interview unless already described in the Interview Summary Form completed by the examiner.

Examiners are expected to carefully review the applicant's record of the substance of an interview. If the record is not complete and accurate, the examiner will give the applicant an extendable one month time period to correct the record.

#### **Examiner to Check for Accuracy**

If the claims are allowable for other reasons of record, the examiner should send a letter setting forth the examiner's version of the statement attributed to him or her. If the record is complete and accurate, the examiner should place the indication, "interview Record OK" on the paper recording the substance of the interview along with the date and the examiner's initials.

Application No. 10/696,727

Continuation of Substance of Interview including description of the general nature of what was agreed to if an agreement was reached, or any other comments: It was agreed that the case would be put into condition for allowance with the following amendments: Inserting, "when implanted," between which and permanently in claims 21 and 23-26. Changing said vertebrae to "said superior and inferior vertebrae" in claims 21 and 23-26. Inserting "permanently" before "articulating vertebral implant." In claim 31, line 71, inserting "wherein there is at least one of said permanently articulating vertebral implant devices on each side of a vertical medial plane defined by the spinous processes of said superior and inferior vertebrae" after "superior and inferior supports'.

## Application No. Applicant(s) 10/696,727 SIMONSON, RUSH E. Notice of Allowability Examiner Art Unit MICHAEL L ARAL 3775 -- The MAILING DATE of this communication appears on the cover sheet with the correspondence address--All claims being allowable, PROSECUTION ON THE MERITS IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance (PTOL-85) or other appropriate communication will be mailed in due course. THIS NOTICE OF ALLOWABILITY IS NOT A GRANT OF PATENT RIGHTS. This application is subject to withdrawal from issue at the initiative of the Office or upon petition by the applicant. See 37 CFR 1.313 and MPEP 1308. 1. This communication is responsive to the interview conducted on October 28, 2008. 2. The allowed claim(s) is/are 21-34. 3. Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f). b) ☐ Some\* c) ☐ None of the: 1. T Certified copies of the priority documents have been received. 2. Certified copies of the priority documents have been received in Application No. 3. ☐ Copies of the certified copies of the priority documents have been received in this national stage application from the International Bureau (PCT Rule 17.2(a)). \* Certified copies not received: \_\_\_\_\_. Applicant has THREE MONTHS FROM THE "MAILING DATE" of this communication to file a reply complying with the requirements noted below. Failure to timely comply will result in ABANDONMENT of this application. THIS THREE-MONTH PERIOD IS NOT EXTENDABLE. 4. A SUBSTITUTE OATH OR DECLARATION must be submitted. Note the attached EXAMINER'S AMENDMENT or NOTICE OF INFORMAL PATENT APPLICATION (PTO-152) which gives reason(s) why the oath or declaration is deficient. CORRECTED DRAWINGS (as "replacement sheets") must be submitted. (a) Including changes required by the Notice of Draftsperson's Patent Drawing Review (PTO-948) attached 1) hereto or 2) to Paper No./Mail Date (b) including changes required by the attached Examiner's Amendment / Comment or in the Office action of Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the drawings in the front (not the back) of each sheet. Replacement sheet(s) should be labeled as such in the header according to 37 CFR 1.121(d). 6. DEPOSIT OF and/or INFORMATION about the deposit of BIOLOGICAL MATERIAL must be submitted. Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

U.S. Patent and Trademark Office
PTOL-37 (Rev. 08-06)

Examiner, Art Unit 3775

/Michael J Arai/

Attachment(s)

1. | Notice of References Cited (PTO-892)

Paper No./Mail Date

of Biological Material

2. Notice of Draftperson's Patent Drawing Review (PTO-948)

4. ☐ Examiner's Comment Regarding Requirement for Deposit

Information Disclosure Statements (PTO/SB/08).

5. Notice of Informal Patent Application

7. X Examiner's Amendment/Comment

8. T Examiner's Statement of Reasons for Allowance

Supervisory Patent Examiner, Art Unit 3733

 Interview Summary (PTO-413), Paper No./Mail Date 20081028.

9. ☐ Other .

/Eduardo C. Robert/

Art Unit: 3775

#### EXAMINER'S AMENDMENT

An examiner's amendment to the record appears below. Should the changes and/or additions be unacceptable to applicant, an amendment may be filed as provided by 37 CFR 1.312. To ensure consideration of such an amendment, it MUST be submitted no later than the payment of the issue fee.

Authorization for this examiner's amendment was given in an in-person interview with Guy Chambers on October 28, 2008.

The application has been amended as follows:

Inserting ", when implanted," between which and permanently in claim 21, line 9.

Inserting "superior and inferior" between 'said' and 'vertebrae' in claim 21, line 10.

Inserting "permanently" before 'articulating vertebral implant' in claim 21, line 11.

Inserting "permanently" before 'articulating' and inserting "vertebral implant" between 'articulating' and 'device' in claim 22, line 2.

Inserting ", when implanted," between which and permanently in claim 23, line 9.

Inserting "superior and inferior" between 'said' and 'vertebrae' in claim 23, line 10.

Inserting "permanently" before 'articulating' and inserting "vertebral implant" between 'articulating' and 'device' in claim 23, line 11.

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Inserting "permanently" before 'articulating vertebral implant' in claim 23, line 15

Inserting ", when implanted," between which and permanently in claim 24, line 9.

Inserting "superior and inferior" between 'said' and 'vertebrae' in claim 24, line 10.

Inserting "permanently" before 'articulating' and inserting "vertebral implant" between 'articulating' and 'device' in claim 24, line 11.

Inserting "permanently" before 'articulating vertebral implant' in claim 24, line 15.

Inserting ", when implanted," between which and permanently in claim 25, line 10.

Inserting "superior and inferior" between 'said' and 'vertebrae' in claim 25, line 11.

Inserting "permanently" before 'articulating vertebral implant' in claim 25, line 12.

Inserting ", when implanted," between which and permanently in claim 26, line 10.

Inserting "superior and inferior" between 'said' and 'vertebrae' in claim 26, line 11.

Inserting "permanently" before 'articulating vertebral implant' in claim 26, line 12.

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Inserting "permanently" before 'articulating vertebral implant' in claim 26, line 13.

Inserting "permanently" before 'articulating' and inserting "vertebral implant" between 'articulating' and 'device' in claim 28. line 2.

In claim 31, line 7 removing 'each of'.

In claim 31, line 12 replacing '.' with ";".

In claim 31, after line 12, inserting "wherein there is at least one of said permanently articulating vertebral implant devices on each side of a vertical medial plane defined by the spinous processes of said superior and inferior vertebrae.".

Inserting "permanently" before 'articulating vertebral implant' in claim 33, line 2.

Inserting "superior and inferior" between 'said' and 'vertebrae' in claim 34, line 3.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to MICHAEL J. ARAJ whose telephone number is (571)272-5963. The examiner can normally be reached on M-F 8am-5pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Eduardo Robert can be reached on 571-272-4719. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

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Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see http://pair-direct.uspto.gov. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

/Michael J Araj/ Examiner, Art Unit 3775 /Eduardo C. Robert/ Supervisory Patent Examiner, Art Unit 3733